

GAU 2508  
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PTO/SB/17 (1/98)

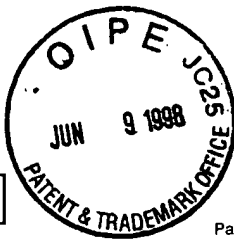
Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL		Complete If Known																												
		Application Number	08/788,560																											
<i>Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i>		Filing Date	January 24, 1997																											
		First Named Inventor	Shunpei YAMAZAKI et al.																											
		Examiner Name	W. Fahmy																											
		Group Art Unit	2508																											
TOTAL AMOUNT OF PAYMENT (\$) <b>1,728</b>		Attorney Docket Number	0756-1626																											
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																												
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No. 19-2380 Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, PC  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance  2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		3. ADDITIONAL FEES																												
		Large Entity Small Entity																												
1. BASIC FILING FEE Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid 101 790 201 395 Utility filing fee [790] 106 330 206 165 Design filing fee [ ] 107 540 207 270 Plant filing fee [ ] 108 790 208 395 Reissue filing fee [ ] 114 150 214 75 Provisional filing fee [ ]  SUBTOTAL (1) [790]		Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid																							
		105 130 205 65 Surcharge-late filing fee or oath	127 50 227 25 Surcharge-late provisional filing fee or cover sheet	139 130 139 130 Non-English specification	147 2,520 147 2,520 For filing a request for reexamination	112 920* 112 920* Requesting publication of SIR prior to Examiner action	113 1,840* 113 1,840* Requesting publication of SIR after Examiner action	115 110 215 55 Ext for reply within first month	116 400 216 200 Ext for reply within second mth	117 950 217 475 Ext for reply within third mth	118 1,510 218 755 Ext for reply within fourth mth	128 2,060 228 1,030 Ext for reply within fifth month	119 310 219 155 Notice of Appeal	120 310 220 155 Filing brief in support of appeal	121 270 221 135 Request for Oral Hearing	138 1,510 138 1,510 Petition to institute public use proceeding	140 110 240 55 Petition to revive-unavoidable	141 1,320 241 660 Petition to revive-unintentional	142 1,320 242 660 Utility issue fee (or reissue)	143 450 243 225 Design issue fee	144 670 244 335 Plant issue fee	122 130 122 130 Petitions to the Commissioner	123 50 123 50 Petitions related to provisional applications	126 240 126 240 Submission of IDS	581 40 581 40 Recording each patent assignment per property. (times number of properties)	146 790 246 395 Filing a submission after final rejection (37 CFR 1.129(a))	149 790 249 395 For each additional invention to be examined (37 CFR 1.129(b))	Other	Other	*Reduced by Basic Filing Fee Paid
2. EXTRA CLAIM FEES Total Claims 44 - 20** = 24 X 22 = \$528.00 Independent Claims 8 - 3** = 5 X 82 = \$410.00 Multiple Dependent Claims _____ = _____ **or number previously paid, if greater, For Reissues, see below Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description 103 22 203 11 Claims in excess of 20 102 82 202 41 Independent claims in excess of 3 104 270 204 135 Multiple dependent claim 109 82 209 41 **Reissue independent claims over original patent 110 22 210 11 **Reissue claims in excess of 20 and over original patent  SUBTOTAL (2) [1728]		126 240 126 240	581 40 581 40	146 790 246 395	149 790 249 395	Other	Other	*Reduced by Basic Filing Fee Paid	SUBTOTAL (3)	\$																				
SUBMITTED BY		Complete (if applicable)																												
Typed or Printed Name	Eric J. Robinson	Reg. Number	38,285																											
Signature		Date	June 9, 1998																											
		Deposit Account User ID	19-2380																											

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PTO/SB/29 (1/98)

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**CONTINUED PROSECUTION APPLICATION (CPA)  
REQUEST TRANSMITTAL**Submit an original, and a duplicate for fee processing.  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable

☐ DUPLICATE

Address to:

Assistant Commissioner for Patents  
Box CPA  
Washington, DC 20231

Attorney Docket No.

0756-1626

First Named Inventor

Shunpei YAMAZAKI

Examiner Name

W. Fahmy

Group/Art Unit

2508

Express Mail Label No.

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d), (continued prosecution application (CPA)) of prior application number 08/788,560, filed on January 24, 1997, entitled Semiconductor Device and Method for Forming the Same which is a Divisional application of Serial No. 08/213,837, filed March 16, 1994; which itself is a continuation of Serial No. 07/813,071, filed December 26, 1991.

**NOTES**

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. A Notice will be placed on a patent issuing from a CPA, except for reissues and designs, to the effect that the patent issued on a CPA and is subject to the twenty-year patent term provisions of 35 U.S.C. §154(a)(2). Therefore, the prior application of a CPA may have been filed before, on or after June 8, 1995.

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

1. ☐ Enter the unentered amendment previously filed on \_\_\_\_\_ under 37 CFR 1.116 in the prior nonprovisional application.
2. ☒ A preliminary amendment is enclosed.
3. ☐ This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
  - a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application:
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
5. ☐ Information Disclosure Statement (IDS) is enclosed:
  - a. ☐ PTO-1449
  - b. ☐ Copies of IDS Citations

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01 FC:131  
02 FC:102  
03 FC:103790.00 OP  
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528.00 OP

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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR § 1.16(c) or (j))	44 - 20* =	24	X \$22.00 =	\$528.00
	INDEPENDENT CLAIMS (37 CFR § 1.16(b) or (i))	8 - 3** =	5	X \$82.00 =	\$410.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR § 1.16(d))			+ \$270.00 =	
	BASIC FEE (37 CFR § 1.16)				\$790.00
	TOTAL OF ABOVE CALCULATIONS =				\$1,728.00
	Reduction by 50% for filing by small entity (Note 37 CFR §§ 1.9, 1.27 & 1.28).				
	*Reissue claims in excess of 20 and over original patent. **Reissue independent claims over original patent.				
	TOTAL =				\$1,728.00

6. Small entity status:

- a. ☐ A small entity statement is enclosed, if (b) and (c) do not apply.
- b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 19-2380:

- a. ☒ Fees required under 37 CFR § 1.16.
- b. ☒ Fees required under 37 CFR § 1.17.
- c. ☐ Fees required under 37 CFR § 1.18.

8. ☒ A check in the amount of \$1,728.00 is enclosed.

9. ☐ Other:

**NOTE:** The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

10. NEW CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☐ New correspondence address below

(Insert Customer No. or Attach bar code label here)

Name: Eric J. Robinson

Firm: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, P.C.

Address: 2010 Corporate Ridge, Suite 600

City: McLean

State: Virginia

Zip Code: 22102

Country: U.S.A.

Telephone: (703) 790-9110

FAX: (703) 883-0370

11. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print/Type)

Eric J. Robinson

Signature

Registration No. (Attorney/Agent)

38,285

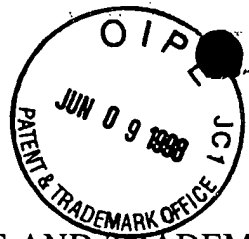
Date

June 9, 1998

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B. M. H. 6.18.98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT application of )  
SHUNPEI YAMAZAKI et al. )  
Serial No. 08/788,560 ) Art Unit: 2508  
Filed: January 24, 1997 ) Examiner: W. Fahmy  
For: SEMICONDUCTOR DEVICE )  
HAVING SOURCE/CHANNEL )  
OR DRAIN/CHANNEL )  
BOUNDARY REGIONS )

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PRELIMINARY AMENDMENT

Honorable Assistant Commissioner For Patents

Washington, D.C. 20231

Sir:

Prior to examination, please amend the above-identified application as follows:

In the claims:

Please cancel claims 21-33 in their entirety without prejudice or disclaimer of the subject matter set forth therein.

Please add new claims 34-77 as follows:

- 
- C1
- 34. A semiconductor device comprising:  
a substrate having an insulating surface;  
a gate electrode on said insulating surface;  
a gate insulating film over said gate electrode and said insulating surface;